CLINICAL RESEARCH PROTOCOL
**INITIAL** REVIEW APPLICATION

PRINCIPAL INVESTIGATOR (Name, Institute/Branch, Address, Telephone):

PROTOCOL TITLE:

ABBREVIATED TITLE (30 characters or less):

PROPOSED START DATE: _____ END DATE: _____ TOTAL SUBJECTS TO BE ACCRUED: _____

MULTI-SITE COLLABORATION:
☐ None ☐ Foreign site(s) only*
☐ Domestic site(s) only* ☐ Foreign & domestic sites*
*Include in the protocol the full name and address of each site and identify whether each holds a FWA or MPA. For more information, contact the Office of Human Subjects Research (301-402-3444).

REQUESTED ACCRUAL EXCLUSION (Check all that apply):
☐ None ☐ Asian
☐ Male ☐ Black or African American
☐ Female ☐ White
☐ Children ☐ Hispanic or Latino
☐ American Indian/ Alaskan Native ☐ Native Hawaiian or Pacific Islander
*Attach detailed statement describing the rationale for any requested exclusion(s).

SUBJECT ACCRUAL CHARACTERISTICS:
Minimum Age Permitted _____
Maximum Age Permitted_____
Pediatric ☐ None ☐ <1 Yr. ☐ 1-3 Yrs. ☐ 4-17 Yrs. ☐ 18-20 Yrs
Healthy Volunteers ☐ Yes ☐ No
Are Healthy Volunteers NIH Employees? ☐ Yes ☐ No
Subject Remuneration ☐ Yes ☐ No

**NOTE:** Each Protocol must include a discussion of the rationale for subject selection including gender and ethnicity of the population at risk. Recruitment plans and procedures must also be described.

PROTOCOL TYPE: (Check one):
☐ Screening
☐ Training
☐ Natural History
☐ Natural History - Specimen Procurement Only
☐ Clinical Trial: Identify Phase (Definitions on Reverse) (Check one)
☐ Phase I ☐ Phase II ☐ Phase III ☐ Phase IV

IS TISSUE BEING COLLECTED FOR RESEARCH PURPOSES? ☐ Yes ☐ No
PATIENT SELF REFERRAL ALLOWED? ☐ Yes ☐ No
LIST ON WEB ☐ Yes ☐ No

KEY WORDS (Enter 5 words, not contained in the protocol title, particularly salient in describing the protocol):
1. _____
2. _____
3. _____
4. _____
5. _____

IONIZING RADIATION USE (X-rays, e.g., CT; radioisotopes, e.g. PET; etc.):
☐ None
☐ Medically indicated
☐ Research indicated (Complete NIH-88-23a, and attach to this application. Send a copy of entire protocol and NIH-88-23a to Chair, Radiation Safety for concurrent review).

INVESTIGATIONAL NEW DRUG/DEVICE: ☐ None ☐ IND ☐ IDE
FDA No. _____.
Name: _____.
Sponsor: _____.

List all commercial or other entities providing investigational drug/device: (Explanation/examples on reverse side)

_____

_____

Do any investigators have equity, consultative, or other financial relationship with a non-NIH source related to this protocol which might be considered a conflict of interest?
☐ No ☐ Yes (Append a statement of disclosure)

MEDICAL ADVISORY INVESTIGATOR (if necessary):
_____.
(Name) (Institute/Branch) (Telephone)

RESEARCH CONTACT:
_____.
(Name) (Institute/Branch) (Address, Telephone, Fax)

ASSOCIATE INVESTIGATOR(S) (Name, Institute/Branch, Telephone) Initial:
1. _____.
2. _____.
3. _____.
4. _____.
5. _____.
6. _____.
7. _____.
8. _____.
9. _____.

**(Principal Investigator: Be sure to include PRECIS <=400 words as first section of protocol)**

| | | | | |
|---|---|---|---|---|
| SIGNATURE | _____ Principal Investigator | _____ Print/Type Name | Date _____ | Send to Accountable Investigator |
| RECOMMENDATION | _____ Accountable Investigator | _____ Print/Type Name | Date _____ | Send to Branch Chief, or CC Dept. Head of PI |
| | _____ Branch Chief or CC Dept. Head of P.I. | _____ Print/Type Name | Date _____ | Send to Institute/Center Scientific Review Committee |
| APPROVALS | _____ For Institute/Center Scientific Review Comm. | _____ Print/Type Name | Date _____ | Send to Clinical Director |
| | _____ Clinical Director | _____ Print/Type Name | Date _____ | Send to Chair, Institutional Review Board |
| | _____ Chair, For Institutional Review Board | _____ Print/Type Name | Date _____ Protocol & Consent Approval Completed | Send to Office of Protocol Services, through IRB Protocol Coordinator |
| PATIENT SAFETY/ RESOURCE REVIEW | _____ Director, Clinical Center | _____ Print/Type Name | Date _____ | Return to Office of Protocol Services, (10/1S231B) |
| COMPLETION | _____ Protocol Specialist | Date _____ | **PROTOCOL NO.** | |

## Definitions for Research Types

**R:CT** **Research:Clinical Trials** – Includes Phase I through Phase IV clinical trials.

Phase I
Phase I includes the initial introduction of an investigational new drug into humans. Phase I studies are typically closely monitored and may be conducted in patients or normal volunteer subjects. These studies are designed to determine the metabolism and pharmacologic actions of the drug in humans, the side effects associated with increasing doses, and, if possible, to gain early evidence on effectiveness. During Phase I, sufficient information about the drug's pharmacokinetics and pharmacological effects should be obtained to permit the design of well-controlled, scientifically valid, Phase II studies. The total number of subjects and patients included in Phase I studies varies with the drug, but is generally in the range of 20-80.

Phase II
Phase II includes the controlled and uncontrolled clinical studies conducted to evaluate the effectiveness of the drug for a particular indication or indications in patients with the disease or condition under study and to determine the common short-term side effects and risks associated with the drug. Phase II studies are typically closely monitored, and conducted in a relatively small number of patients, usually involving no more than several hundred subjects.

Phase III
Phase III studies are expanded controlled and uncontrolled trials. They are performed after preliminary evidence suggesting effectiveness of the drug has been obtained, and are intended to gather the additional information about effectiveness and safety that is needed to evaluate the overall benefit-risk relationship of the drug, and to provide an adequate basis for physician labeling. Phase III studies usually include from several hundred to several thousand subjects.

Phase IV (From CFR 312.85)
Phase IV studies. Concurrent with marketing approval, the FDA may seek agreement from the sponsor to conduct certain postmarketing (Phase IV) studies to delineate additional information about the drug's risks, benefits, and optional use. These studies could include, but would not be limited to, studying different doses or schedules of administration than were used in Phase II studies, use of the drug in other patient populations or other stages of the disease, or use of the drug over a longer period of time.

**R:NH** **Research:Natural History/Disease Pathogenesis** – Protocols designed to study normal human biology and disease pathogenesis.

Such protocols may have multiple components including provision for screening, standard therapy, physiological investigations, natural history, and long-term effects of therapy.

**S** **Screening** – Designed to determine if individuals may be suitable candidates for inclusion in one or another study being carried out by an Institute. The NIH does not support a rigid quota of patients to be admitted for screening purposes, since this may vary widely among ICs and within an IC over time. Furthermore, specific screening protocols may be written for long-term accrual of cohorts of patients with interesting, unexplained disease presentation for the purpose of identifying new syndromes. However, the projected number of patients to be accrued to such screening protocols must be estimated in advance and subsequently monitored.

**T** **Training** – Provide the opportunity for staff physicians and other health workers to follow particular types of patients in order to maintain or increase their professional skills. The projected number of subjects to be accrued to such training protocols must be indicated in advance and subsequently monitored.

## Commercial or Other Entities Providing Drug/Device

A sponsor of a clinical trial is the IND holder. The sponsor usually supplies the drug or device for the trial, monitor the clinical trial, and report to the FDA. The sponsor can be an individual, commercial entity (e.g., drug company), government agency (e.g., Cancer Therapy Evaluation Program), academic institution, or clinical trial organization (e.g., cooperative group operations office). Commercial entities that manufacture the investigational drug/device, supply the drug/device for the trial, hold the IND and sponsor the trial, or are a partner in the development of the drug/device should be reported.